

10 Rec'd PCT/PTO 381323 FORM PTO-1390 REV. 5-93 <b>TRANSMITTAL LETTER TO THE UNITED STATES          DESIGNATED/ELECTED OFFICE (DO/EO/US)          CONCERNING A FILING UNDER 35 U.S.C. 371</b>		US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE ATTORNEYS DOCKET NUMBER <b>P99,1696</b> U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <div style="font-size: 1.5em; text-align: center;"><b>09/381323</b></div>
INTERNATIONAL APPLICATION NO. <b>PCT/EP98/01405</b>	INTERNATIONAL FILING DATE <b>March 11, 1998</b>	PRIORITY DATE CLAIMED <b>March 19, 1997</b>
TITLE OF INVENTION <b>METHOD FOR THE PRODUCTION OF A VERTICAL MOS TRANSISTOR</b>		
APPLICANT(S) FOR DO/EO/US <b>THOMAS AEUGLE, WOLFGANG RÖSNER, DAG BEHAMMER and LILI VESCAN</b>		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay.</li> <li>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li> </ol>		
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> A copy of International Application (35 U.S.C. 371(c)(2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)</li> </ol> </li> <li><input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</li> </ol>		
<ol style="list-style-type: none"> <li><input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li><input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)) (attached at back of English translation of application).</li> <li><input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> </ol>		
10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).		
Items 11. to 16. below concern other document(s) or information included:		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98; (PTO 1449, Prior Art, Search Report).		
12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included. <div style="text-align: center;"><b>(SEE ATTACHED ENVELOPE)</b></div>		
13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.		
14. <input type="checkbox"/> A substitute specification.		
15. <input type="checkbox"/> A change of power of attorney and/or address letter.		
16. <input checked="" type="checkbox"/> Other items or information: <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Submission of Drawings</li> <li>b. <input checked="" type="checkbox"/> Request for Approval of Drawing Changes</li> <li>c. <input type="checkbox"/> Letter Under Rule Under 37 C.F.R. §1.41(c)</li> <li>d. <input checked="" type="checkbox"/> EXPRESS MAIL #EL451654144US</li> </ol>		

U.S. APPLICATION NO. (IF KNOWN, SEE 37 C.F.R. 1.9)

INTERNATIONAL APPLICATION NO.

PCT/EP88/01405

DOCKET NUMBER

99,1896

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 C.F.R. 1.492(a)(1)-(5):**

Search Report has been prepared by the EPO or JPO ..... \$840.00

International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) ... \$760.00

No international preliminary examination fee paid to USPTO (37 C.F.R. 1.482) but  
international search fee paid to USPTO (37 C.F.R. 1.445(a)(2)) ..... \$450.00Neither international preliminary examination fee (37 C.F.R. 1.482) nor international  
search fee (37 C.F.R. 1.445(a)(2)) paid to USPTO ..... \$1,250.00International preliminary examination fee paid to USPTO (37 C.F.R. 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$ 98.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

CALCULATIONS

PTO USE ONLY

\$ 840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from  
the earliest claimed priority date (37 C.F.R. 1.492(e)).

\$

Claims

Number Filed

Number  
Extra

Rate

Total Claims

5

- 20 =

X \$ 22.00

\$

Independent Claims

1

- 3 =

X \$ 82.00

\$

Multiple Dependent Claims

\$270.00 +

\$

**TOTAL OF ABOVE CALCULATIONS =**

\$ 840.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also  
be filed. (Note 37 C.F.R. 1.9, 1.27, 1.28)

\$

**SUBTOTAL =**

\$ 840.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(f)).

\$

+

**TOTAL NATIONAL FEE =**

\$

Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property

+

**SEE  
ATTACHED  
ENVELOPE****TOTAL FEES ENCLOSED =**

\$ 840.00

Amount to be  
refunded

\$

charged

\$

a. ☒ A check in the amount of \$ 840.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A  
duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 08-2290. A duplicate copy of this sheet is enclosed.NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b)) must  
be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Hill, Steadman & Simpson  
A Professional Corporation  
85th Floor Sears Tower  
Chicago, Illinois 60606

SIGNATURE

Steven H. Noll

NAME

28,982

Registration Number